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NTP-101US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Duanyi Xu et al. : Attention:  
Serial No.: 09/810,948 : Box Missing Parts  
Filed: March 16, 2001 : Art Unit: 2651  
FOR: MULTI-WAVELENGTH OPTICAL : Examiner:  
DISC, APPARATUS AND METHOD FOR  
READING AND WRITING SIGNAL  
THEREFOR

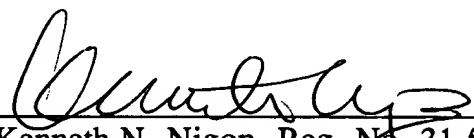
RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents  
Washington, DC 20231

S I R :

Responsive to the Office Letter dated April 23, 2001, enclosed is a Declaration Claiming Small Entity Status and the Declaration/Power of Attorney in compliance with 37 CFR 1.63 and check in the amount of \$594.00 to cover the required surcharge fee, the basic filing fee and the additional claim fees.

Respectfully Submitted,

  
Kenneth N. Nigon, Reg. No. 31,549  
Attorney for Applicant

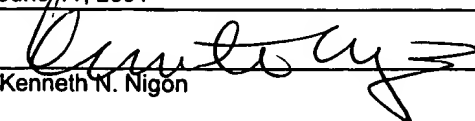
X 4222

Dated: June 11, 2001  
Suite 301  
One Westlakes, Berwyn  
P.O. Box 980  
Valley Forge, PA 19482-0980  
(610) 407-0700

The Assistant Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on:

June 11, 2001

  
Kenneth N. Nigon



*Sector*

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/810,948         | 03/16/2001          | Duanyi Xu             | NTP-101US              |

23122  
RATNER & PRESTIA  
P O BOX 980  
VALLEY FORGE, PA 19482

CONFIRMATION NO. 7231

FORMALITIES LETTER



\*OC000000005998002\*

Date Mailed: 04/23/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$348.
  - \$108 for 6 total claims over 20.
  - \$240 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1188.

*A copy of this notice MUST be returned with the reply.*

*Ferdinand*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/20/2001 BNGUYEN1 00000112 09810948  
01 FC:201 355.00 DP  
02 FC:203 54.00 DP  
03 FC:202 120.00 DP  
04 FC:205 65.00 DP



# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | 09/810,948       |
| Filing Date          | March 16, 2001   |
| First Named Inventor | Duanyi Xu et al. |
| Examiner Name        |                  |
| Group / Art Unit     | 2851             |
| Attorney Docket No.  | NTP-101US        |

TOTAL AMOUNT OF PAYMENT (\$) 594

## METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

18-0350

Deposit  
Account  
Name

Ratner &amp; Prestia

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 710      | 201          | 355      | Utility filing fee     | 355      |
| 106          | 320      | 206          | 160      | Design filing fee      |          |
| 107          | 490      | 207          | 245      | Plant filing fee       |          |
| 108          | 710      | 208          | 355      | Reissue filing fee     |          |
| 114          | 150      | 214          | 75       | Provisional filing fee |          |

SUBTOTAL (1)

(\$ 355)

## 2. EXTRA CLAIM FEES

|                    | Total Claims | Extra Claims | Fee below | Fee Paid |
|--------------------|--------------|--------------|-----------|----------|
|                    | 26           | -20** = 6    | X 9 =     | 54       |
| Independent Claims | 6            | -3** = 3     | X 40 =    | 120      |
| Multiple Dependent |              |              | X =       | 0        |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |
| 102          | 80       | 202          | 40       | Independent claims in excess of 3                          |
| 104          | 270      | 204          | 135      | Multiple dependent claim, if not paid                      |
| 109          | 80       | 209          | 40       | ** Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$ 174)

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|----------|-----------------------|-----------------------|-----------------------|--|----------|
| 105      | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  | 65       |
| 127      | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139      | 130                   | 139                   | 130                   | Non-English specification  |          |
| 147      | 2,520                 | 147                   | 2,520                 | For filing a request for reexamination                                     |          |
| 112      | 920*                  | 112                   | 920*                  | Requesting publication of SiR prior to Examiner action                     |          |
| 113      | 1,840*                | 113                   | 1,840*                | Requesting publication of SiR after Examiner action                        |          |
| 115      | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116      | 390                   | 216                   | 195                   | Extension for reply within second month                                    |          |
| 117      | 890                   | 217                   | 445                   | Extension for reply within third month                                     |          |
| 118      | 1,390                 | 218                   | 695                   | Extension for reply within fourth month                                    |          |
| 128      | 1,890                 | 228                   | 945                   | Extension for reply within fifth month                                     |          |
| 119      | 310                   | 219                   | 155                   | Notice of Appeal   |          |
| 120      | 310                   | 220                   | 155                   | Filing a brief in support of an appeal                                     |          |
| 121      | 270                   | 221                   | 135                   | Request for oral hearing   |          |
| 138      | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140      | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141      | 1,240                 | 241                   | 620                   | Petition to revive - unintentional   |          |
| 142      | 1,240                 | 242                   | 620                   | Utility issue fee (or reissue)   |          |
| 143      | 440                   | 243                   | 220                   | Design issue fee   |          |
| 144      | 600                   | 244                   | 300                   | Plant issue fee  |          |
| 122      | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123      | 130                   | 123                   | 130                   | Petitions related to provisional applications                              |          |
| 126      | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581      | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) |          |
| 146      | 710                   | 246                   | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149      | 710                   | 249                   | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179      | 710                   | 279                   | 355                   | Request for Continued Examination (RCE)                                    |          |
| 169      | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 65)

\*\*or number previously paid, if greater; For Reissues, see above

## SUBMITTED BY

## Complete (if applicable)

|                   |                   |                                  |               |           |               |
|-------------------|-------------------|----------------------------------|---------------|-----------|---------------|
| Name (Print/Type) | Kathleen N. Nigon | Registration No. Attorney/Agent) | 31,549        | Telephone | (810) 4070700 |
| Signature         |                   | Date                             | June 11, 2001 |           |               |

WARNING: Information on this form may become public. Credit Card information should not be included on this form. Provide credit card information and authorization on PTO-2038 Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.